

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PROVISIONAL PATENT APPLICATION

Jc903 U.S. PRO  
09/859661  
05/17/01

Application for Reissue of

Patent No. : 5,905,974  
Issued : May 18, 1999  
Patentees/  
Reissue Applicants : Stuart A. Fraser et al.  
For : AUTOMATED AUCTION PROTOCOL PROCESSOR  
Assignees : CANTOR FITZGERALD, L.P. and  
CFPH, L.L.C.

Box REISSUE  
Hon. Commissioner for Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATION

Express Mail Label No. EI125454835US  
Date of Deposit: May 17, 2001

I hereby certify that this certification and the following papers and fees:

1. Letter of Transmittal for Reissue Application (in duplicate);
2. Copy of U.S. Patent No. 5,905,974;
3. Reissue Declaration;
4. Offer to Surrender Original Letter Patent Under 37 C.F.R. § 1.178;
5. Certificate Under 37 C.F.R. § 3.73(b), Revocation of Power of Attorney, New Power of Attorney, and Consent of Assignee under 37 C.F.R. § 1.172(a) to Reissue Application;
6. Preliminary Amendment with Figures; and
7. Letter to Official Draftperson with Figures;

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to Box REISSUE, Commissioner for Patents, Washington, D.C. 20231.

Name: CHARLES J. SAWYER

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New York, New York 10020  
May 17, 2001

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Washington, D.C. 20231

LETTER OF TRANSMITTAL FOR REISSUE APPLICATION

Sir:

Submitted herewith for filing is an Application  
for Reissue of United States Patent No. 5,905,974, issued  
May 18, 1999. This Reissue Application consists of the  
following papers, all of which are enclosed:

1. Specification, claims, and abstract (on cover  
sheet of issued patent) as required by 37 C.F.R.

§ 1.173(a)(1);

2. Drawings (12 sheets) as required by 37 C.F.R.  
§ 1.173(a)(2);

3. Reissue Declaration, executed by the  
assignees, as required by 37 C.F.R. §§ 1.172 and 1.175;

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4. Offer Under 37 C.F.R. § 1.178 to Surrender  
Original U.S. Letters Patent No. 5,905,974;

5. Certificate Under 37 C.F.R. § 3.73(b),  
Revocation of Power of Attorney, New Power of Attorney, and  
Consent of Assignees in accordance with 37 C.F.R.  
§ 1.172(a);

6. A Preliminary Amendment in accordance with  
37 C.F.R. § 1.173; and

7. A Letter To Official Draftsperson.

The fee, after entry of the amendments indicated  
in the Preliminary Amendment, has been calculated as shown  
below:

| REISSUE<br>APPLICATION                              | ORIGINAL<br>PATENT | EXTRA | RATE                    | FEE              |
|---|--------------------|-------|-------------------------|------------------|
| BASIC FEE   |                    |       |                         | \$ 710.00        |
| TOTAL<br>CLAIMS                                     | 25 -               | 30*   | = 0 x \$ 18 = \$ .00    |                  |
| INDEPENDENT<br>CLAIMS                               | 5 -                | 3**   | = 2 x \$ 80 = \$ 160.00 |                  |
| <input type="checkbox"/> A MULTIPLE DEPENDENT CLAIM |                    |       | + \$270 = \$ .00        |                  |
| * If less than 20, insert 20                        |                    |       | TOTAL                   | \$ <u>870.00</u> |
| ** If Less than 3, insert 3                         |                    |       |                         |                  |

A check in the amount of \$870.00 is transmitted  
herewith in payment of the filing fee.

The Director is hereby authorized to charge payment of any additional fees required in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is enclosed herewith.

Respectfully submitted,



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New York, New York  
May 17, 2001

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LETTER TO OFFICIAL DRAFTSPERSON

Sir:

Please approve the following amendments of FIGS. 5-11, which are indicated in red ink on the attached copies of sheets 6-12 of the drawings, so that corrected formal drawings can be filed:

FIG. 5, insert --NO-- adjacent to the arrow connecting test 540 and block 550.

FIG. 5, insert --YES-- adjacent to the arrow connecting test 540 and block 560.

FIG. 6, insert --YES-- adjacent to the arrow connecting test 650 and block 660.

FIG. 6, change "LOCK\_MAR: INT" in block 670 to --  
BLOCK\_MAR: INT--.

FIG. 6, insert --YES-- adjacent to the arrow connecting test 700 and block 720.

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FIG. 7, insert --YES-- adjacent to the line connecting test 820 and block 830.

FIG. 7, change "LOCK: INTERVAL(J)" in block 830 to --BLOCK: INTERVAL(J)--.

FIG. 7, insert --YES-- adjacent to the arrow connecting test 850 and block 860.

FIG. 7, insert --NO-- adjacent to the arrow connecting test 850 and block 870.

FIG. 8, insert --NO-- adjacent to the line connecting test 960 and test 980.

FIG. 8, delete the line from test 980 to block 990 while retaining the arrow from test 930 to block 990.

FIG. 8, delete the label "YES" near the bottom of test 980.

FIG. 8, insert a new test 965 that is labeled --NEW TRADES?-- and that is connected to test 980 by a new arrow that is labeled --YES-- and that comes out of test 980.

FIG. 8, insert a new block 975 that is labeled --EXECUTE-- and that is connected to test 965 by a new arrow that is labelled --YES-- and that comes out of test 965.

FIG. 8, insert a new arrow that is labelled --NO-- and that comes out of test 965 and goes into block 990.

FIG. 8, insert an new arrow that comes out of block 975 and goes into block 990.

FIG. 9, insert a new label --NO-- adjacent to the line coming out of the bottom of test 1040.

FIG. 9, insert a new label --NO-- adjacent to the line coming out of the right of test 1090.

FIG. 9, insert a new label --YES-- adjacent to the line coming out of the bottom of test 1090.

FIG. 9, insert a new label --YES-- adjacent to the line coming out of the bottom of test 1060.

FIG. 10, insert a new label --YES-- adjacent to the line coming out of the bottom of test 1220.

FIG. 10, insert a new label --YES-- adjacent to the line coming out of the bottom of test 1250.

FIG. 11, replace "PROCEDS" in the "BEGINS" row of the "SECOND LOOK" column with --PRECEDES--.

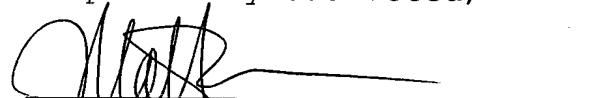
FIG. 11, replace "PASIVE" in the "PASSIVE SIDE" row of the "SECOND LOOK" column with --PASSIVE--.

FIG. 11, replace "NOW" in the "VIDEO ATTRIBUTES OF THE DATA ARRAY MATRICES" row of the "SECOND LOOK" column with --NEW--.

FIG. 11, insert --TO BE-- after "IS" in the "VIDEO ATTRIBUTES OF THE DATA ARRAY MATRICES" row of the "WORKDOWN" column.

The reasons for these amendments are set forth in a Preliminary Amendment filed concurrently herewith.

Respectfully submitted,



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May 17, 2001

OFFER TO SURRENDER ORIGINAL  
LETTERS PATENT UNDER 37 C.F.R. § 1.178

Sir:

Pursuant to 37 C.F.R. § 1.178, assignees hereby offer to surrender original United States Letters Patent No. 5,905,974. The original Letters Patent will be surrendered to the Patent and Trademark Office prior to allowance of the accompanying reissue application. A certificate under 37 C.F.R. § 3.73(b) is being filed in this reissue application concurrently herewith.

Respectfully submitted,



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